

STAKEHOLDER ENGAGEMENT PLAN



Department of Information Resources

HB 2738 Legacy Systems Study

VERSION: 1.0

REVISION DATE: August 16, 2013

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Section 1. Overview

1.1 Project Background

The Texas Department of Information Resources (DIR) is conducting the Legacy Systems Study (LSS), as mandated by the passage of HB 2738, 83rd (R) Legislative Session. The legislation requires DIR to perform a study detailing the use of legacy systems and software across State of Texas agencies and to submit a report of the study to state leadership by October 1, 2014.

The study must include¹:

- an inventory of legacy and non-legacy systems
- annual maintenance costs of legacy systems
- security risks related to the use of legacy systems
- feasibility of updates or replacement of legacy systems
- opportunities for modernization projects

DIR has chosen to perform this study utilizing its Enterprise Solution Services (ESS) team.

1.2 Objectives

***Overall Project Objective:* Comply with the legislation in HB 2738 by completing the Legacy Systems Study by October 1, 2014.**

DIR Role:

Conduct the LSS using the highest degree of transparency and collaboration with agencies and to provide agencies with support and assistance in order to ensure compliance with the legislation.

- Interpret legislative terms and definitions
- Establish strategies for conducting the study
- Publish project deadlines and status
- Create initial inventory sheets based on data previously collected by DIR - e.g. Information Resources Deployment Review (IRDR)
- Hold meetings with in-scope agencies
- Analyze data and produce final determinations based on legislative requirements
- Share findings and results with agencies

Agency Roles:

Provide all information necessary for the Legacy Systems Study in accordance with the timelines set forth by DIR.

¹ See Appendix A for the complete bill text of HB 2738.

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- Collaborate with DIR to identify legacy systems
 - Attend scheduled meetings or conferences
 - Adhere to published deadlines
 - Prioritize LSS timelines and objectives
 - Communicate issues or concerns with DIR
 - Complete the tasks required to complete the inventory portfolio
 - Provide the ESS team with a Project Lead or focal (i.e. single point of contact) and backup to facilitate interactions and responses

In order to meet the overall project objective, an effective stakeholder engagement plan is needed. This document serves as a roadmap and plan for this commitment. The document will evolve as needed to ensure adjustments are made to address stakeholder requirements regarding communication and engagement.

Section 2. Stakeholders

Regular communication with multiple stakeholder groups is an important part of this project. Stakeholder groups are as follows and each is further detailed below.

- 2.1 In-Scope Agencies
- 2.2 DIR Executive Staff
- 2.3 DIR Board of Directors
- 2.4 State Leadership
- 2.5 DIR Internal
- 2.6 Public

2.1 In-Scope Agencies²

DIR first contacted the Information Resource Managers (IRMs) of each affected agency in mid-July 2013. Permanent primary and secondary agency focals will be established by September 3, 2013. All communication with an agency after September 3 will be directed through the primary or secondary focal only. To maximize efforts to gather adequate and accurate data for the study, in-scope agencies will be divided into three groups. An ESS lead will coordinate each agency group. The ESS Coordinator of each group will hold at least four meetings with individual agencies, referred to as Milestone Meetings, from September 3, 2013 to May 30, 2014. Agencies will be responsible for scheduling the four Milestone Meetings with the appropriate ESS Coordinator by September 30, 2013.

Group 1

ESS Coordinator: John Van Hoorn

Email: dir-lss-group1@dir.texas.gov

Work Phone: 512-463-9351

Cell Phone: 512-658-7872

Organization
Texas Department of Criminal Justice
Department of Aging and Disability Services
Texas Health and Human Services Commission

² Excludes institutions of higher education. See Appendix A for the complete bill text of HB 2738.

Organization
Department of Family and Protective Services
Texas Department of Transportation
Texas Department of Public Safety
Office of the Attorney General – A&L
Office of the Attorney General – Child Support
Department of Assistive and Rehabilitative Services
Department of State Health Services
Texas Workforce Commission
Texas Parks and Wildlife Department
Texas Juvenile Justice Department
Texas Commission on Environmental Quality*
Office of the Comptroller of Public Accounts
Texas Department of Insurance*
Texas Board of Professional Land Surveying

Group 2

ESS Coordinator: Mike Tyler

Email: dir-lss-group2@dir.texas.gov

Work Phone: 512-463-7082

Organization
Railroad Commission of Texas
Texas Education Agency
Texas Department of Motor Vehicles
Texas Department of Agriculture
Texas General Land Office
Texas Alcoholic Beverage Commission
Adjutant General's Department of Texas
Texas School for the Deaf
Texas Facilities Commission
Texas Department of Licensing and Regulation
Texas Veterans Commission
Texas School for the Blind and Visually Impaired
Texas Lottery Commission
Texas Department of Housing and Community Affairs

Organization
Texas Water Development Board
Texas Higher Education Coordinating Board
Office of Court Administration*
Texas Secretary of State
Texas Department of Information Resources
Texas Historical Commission
Public Utility Commission of Texas

Group 3

ESS Coordinator: Allan Martin

Email: dir-lss-group3@dir.texas.gov

Work Phone: 512-463-5973

Cell Phone: 512-771-8288

Organization
Texas Medical Board
Texas Board of Nursing
Texas State Board of Pharmacy
Texas State Board of Dental Examiners
Texas State Board of Plumbing Examiners

Organization
Executive Council of Physical Therapy and Occupational Therapy Examiners
Texas State Board of Veterinary Medical Examiners
Texas Board of Chiropractic Examiners
Texas Funeral Service Commission
Texas State Board of Examiners of Psychologists
Texas Board of Professional Geoscientists
Texas Optometry Board
Health Professions Council
Texas State Board of Podiatric Medical Examiners
Employees Retirement System of Texas
Texas State Library and Archives Commission
Texas Animal Health Commission
State Office of Risk Management
Office of the Governor*
State Office of Administrative Hearings
Texas State Securities Board

Organization
Texas State Soil and Water Conservation Board
Texas Racing Commission
Texas Ethics Commission
Texas Commission on Fire Protection
Commission on State Emergency Communications
Texas Commission on Law Enforcement Officer Standards and Education
Cancer Prevention and Research Institute of Texas
Office of Public Utility Counsel
Texas Commission on Jail Standards
Office of Public Insurance Counsel
Texas Commission on the Arts
Texas Public Finance Authority
Texas Pension Review Board
Texas Bond Review Board
Fire Fighters' Pension Commissioner
Office of Consumer Credit Commissioner

Organization
Office of Violent Sex Offender Management
Texas Board of Architectural Examiners
Texas Board of Professional Engineers
Texas Credit Union Department
Texas Department of Banking
Texas Department of Savings and Mortgage Lending
Texas Real Estate Commission
Texas State Board of Public Accountancy

* Agency is responsible for additional reporting on behalf of another agency:

1. Texas Commission on Environmental Quality is responsible for study responses for Texas Low-Level Radioactive Waste Compact Commission.
2. Texas Department of Insurance is responsible for study responses for Office of Injured Employee Counsel.
3. Office of Court Administration is responsible for study responses for:
 - State Commission on Judicial Conduct
 - Court of Appeals
 - 1st - 14th Districts
 - Court of Criminal Appeals
 - Office of Capital Writs
 - Office of the State Prosecuting Attorney
 - Supreme Court of Texas
 - Texas State Law Library
4. Office of the Governor is responsible for study responses for Texas Office of State-Federal Relations.

Communication Schedule

The ESS Coordinator of each group will communicate as needed with individual agencies within the group. Once every two weeks, DIR will publish milestone statuses by group. DIR will distribute a twice monthly newsletter to the focal and secondary contacts and IRMs describing agency status in further detail.

2.2 DIR Executive Staff

The DIR Executive Staff will be provided with status updates on a quarterly basis.

Contact Name (last, first)	Title/Organization	Phone	Email
Robinson, Karen	Executive Director, DIR	512-463-9909 (work)	karen.robinson@dir.texas.gov
Person, Lori	Chief Administrative Officer, DIR	512-936-5848 (work)	lori.person@dir.texas.gov
Villalpando, Nick	Chief Financial Officer, DIR	512-936-2167 (work)	nick.villalpando@dir.texas.gov
Zelinsky, Martin	General Counsel, DIR	512-463-9884 (work)	martin.zelinsky@dir.texas.gov
Kimbriel, Todd	Director eGovernment, DIR	512-475-0579 (work)	todd.kimbriel@dir.texas.gov

2.3 DIR Board of Directors

The DIR Board of Directors will be informed and engaged on an ad hoc basis.

Contact Name (last, first)	Title/Organization
Bacarisse, Charles	DIR Board Chair Vice President for Advancement Houston Baptist University, Houston
Moore, Richard S.	Former Vice President for Business and Administration The University of Texas Medical Branch at Galveston, Goliad
Morrow, P. Keith.	K. Morrow Associates, Southlake
Pickering, Robert E. Jr.	Consultant, Houston
Rohm, Wanda Chandler	Chandler Consultants, Retired Small Business Founder/Owner San Antonio
Troilo, Arthur C. III	Lead Attorney, Managing Director, Troilo Law Firm, P.C. Austin
Villa, Cynthia	Vice President for Business Affairs The University of Texas at El Paso, El Paso
Livingston, Brad	Ex Officio Member Executive Director Texas Department of Criminal Justice
Parker, Bill	Ex Officio Member Chief Information Officer Texas Education Agency
Rios, George	Ex Officio Member Chief Information Officer Texas Parks and Wildlife Department

2.4 State Leadership

The State Leadership will be provided with status updates on a quarterly basis shortly after the DIR Executive Staff update.

Contact Name (last, first)	Title/Organization	Phone	Email
Gonzales, Larry	Representative, Texas House	512-936-9851	amy.baillargeon@dir.texas.gov ³
Elkins, Gary	Representative, Texas House	512-936-9851	amy.baillargeon@dir.texas.gov
	Chair, Texas House Technology Committee		
Robertson, Ed	Fiscal Advisor, Office of the Governor	512-463-3827	erobertson@governor.state.tx.us

2.5 DIR Internal

The internal DIR team will be informed on a regular basis.

Contact Name (last, first)	Frequency	Recipient	Email
McCabe, Kevin	Every two weeks	PPMO (Diana Taylor)	diana.taylor@dir.texas.gov
McCabe, Kevin	Every two weeks	Government Relations (Amy Baillargeon)	amy.baillargeon@dir.texas.gov
PPMO Readout	Quarterly	DIR Agency	

2.6 Public

DIR will publish a description of the study and its schedule via the **DIR internet website**. Any requests for media material, interviews and/or comments will be handled within the normal DIR policy for media inquiries. Requests will be channeled to the Communications group for handling, and the PMO will support the Communication group as required by that group.

³ DIR personnel will facilitate all contact with legislative personnel through DIR's legislative liaison.

Section 3. Communication Guidelines

Communications to stakeholders will generally be in written form and may be in the form of email, electronic documents, or printed documents. Copies of all communications will be maintained in an appropriate storage facility, such as a file share, a physical file cabinet, or other mechanism determined to be best suited to the ESS team.

Section 4. Communications Calendar

A single SharePoint calendar with common milestone dates will be published and shared across all agency groups. Additional calendars will be created for each of the three LSS groups. Individual meetings with agencies will be posted to these three calendars.

Section 5. Glossary

DIR – Texas Department of Information Resources

ESS – Enterprise Solutions Services, a division within DIR

Inventory Portfolio – A collection of an agency's inventory of legacy and non-legacy systems, annual costs and availability of resources for legacy systems, security risks related to legacy system usage, and, if feasible, a cost estimate to update legacy systems.

IRDR – Information Resources Deployment Review

IRMs – Information Resource Managers

LSS – Legacy Systems Study (HB 2738)

PPMO – Program & Portfolio Management Office, an organization within DIR

PMO – Project Management Office, an organization within DIR

SharePoint – A collaboration website for DIR and applicable agencies to communicate schedules, timelines and deliverables related to the LSS.

Section 6. Revision History

Version	Date	Name	Description
0.1	07/26/13	Monica Mahoney	document created
0.2	07/29/13	Monica Mahoney	various edits
0.3	08/02/13	John Van Hoorn	various edits
0.4	08/08/13	John Van Hoorn	edits
0.5	08/09/13	Monica Mahoney	edits to section 2.1
0.6	08/09/13	John Van Hoorn	group edit
0.7	08/12/13	Monica Mahoney	added glossary and appendices
0.8	08/13/13	John Van Hoorn	group edit
0.9	08/15/13	Monica Mahoney	various edits
1.0	08/16/13	Monica Mahoney	final version
1.1	08/26/13	Monica Mahoney	accessibility checks performed, various edits required; edits to section 2.1

Section 7. Appendices

Appendix A – HB 2738, 83rd (R) Legislative Session

Source: [Texas Legislature Online](#)

H.B. No. 2738

AN ACT relating to a study by the Department of Information Resources regarding state agency technology efficiency.

BE IT ENACTED BY THE LEGISLATURE OF THE STATE OF TEXAS:

SECTION 1. Chapter 2054, Government Code, is amended by adding Subchapter O to read as follows:

SUBCHAPTER O. LEGACY SYSTEMS STUDY

Sec. 2054.551. DEFINITION. In this subchapter, "legacy system¹" means a computer system² or application program³ that is operated⁴ with obsolete⁵ or inefficient⁶ hardware or software technology⁷.

Sec. 2054.552. STUDY. (a) The department shall conduct a study to identify legacy systems currently maintained by state agencies other than institutions of higher education. The study must include:

- (1) an inventory of the systems⁸ maintained by state agencies;
- (2) the annual cost and availability of resources⁹ to maintain the systems;
- (3) the security risks¹⁰ related to use of the systems;
- (4) if feasible, a cost estimate¹¹ for updating the systems; and
- (5) a plan for assessing and prioritizing statewide modernization projects to update or replace the systems.

(b) The department may contract with a private vendor to conduct the study.

(c) On request by the department, each state agency shall provide to the department the information necessary for the study¹².

The department may require a state agency to clarify or validate information provided by the agency or related to the study.

Sec. 2054.553. REPORT. Not later than October 1, 2014, the department shall submit a report on its findings from the study conducted under Section 2054.552 and recommendations for modernization of legacy systems to:

- (1) the governor;
- (2) the lieutenant governor;
- (3) the speaker of the house of representatives;
- (4) the House Technology Committee; and
- (5) the Senate Committee on Government Organization.

Sec. 2054.554. EXPIRATION. This subchapter expires August 31, 2015.

SECTION 2. This Act takes effect immediately if it receives a vote of two-thirds of all the members elected to each house, as provided by Section 39, Article III, Texas Constitution. If this Act does not receive the vote necessary for immediate effect, this Act takes effect September 1, 2013.

President of the Senate Speaker of the House

I certify that H.B. No. 2738 was passed by the House on April 11, 2013, by the following vote: Yeas 144, Nays 0, 2 present, not voting; and that the House concurred in Senate amendments to H.B. No. 2738 on May 13, 2013, by the following vote: Yeas 144, Nays 0, 1 present, not voting.

Chief Clerk of the House

I certify that H.B. No. 2738 was passed by the Senate, with amendments, on May 9, 2013, by the following vote: Yeas 30, Nays 0.

Secretary of the Senate

APPROVED: _____
Date

Governor

¹ **legacy system:**

any system that meets at least one of the criteria of obsolete or inefficient hardware or software technology.

² **computer system:**

a collection of hardware and software that executes configurable instruction sets in a zero, single, or multi user environment for the purposes of processing, manipulating, or controlling data or other equipment. For the purposes of this study, a network element, or device with the primary function of routing or interconnection, is not considered a computer system.

³ **application program:**

a predefined set of instructions, delivering a specific business purpose, that allows a computer system to gather, calculate, move, find, report, or manipulate data, including the operation of other equipment, and that requires a functioning operating system in order to execute. Typically, an application program allows the computer system to perform useful work beyond the operation of the computer system itself. This will include Commercial Off the Shelf software (COTS), middleware products, data base products, or utility software.

⁴ **operated:**

any computer system owned or in service for the benefit of a state agency where the computer system has a defined role in any process or procedure, directly or indirectly, in support of the mission of the agency.

⁵ **obsolete:**

any hardware or software technology that is: no longer supported by the manufacturer or third party vendor community; no longer able to provide or perform future system improvements or corrections; currently associated with premium or exceptional support charges from the manufacturer or vendor community for support; or lacking the qualified pool of support knowledge, viable spare parts, or commercially viable channels for acquiring necessary skills to continue operations with a reasonable degree of certainty.

⁶ **inefficient:**

any hardware or software technology that does not meet the processing and functioning standards that are considered to be modern or efficient in the current local market.

⁷ **hardware or software technology:**

any hardware or software, as defined above, related to or installed on a computer system that allows the computer system to execute business application programs.

⁸ **inventory of the systems:**

a list of all legacy and non-legacy computer systems or application programs, as defined above, currently owned or operated for the benefit of state agencies.

⁹ **annual cost and availability of resources:**

the direct and indirect annual cost incurred operating a legacy computer system. The costs will include all licensing, maintenance, labor, downtime risk, and supply chain costs for hardware, technology software, and application programs. The cost will also reflect unrecovered investments regarding the legacy systems.

¹⁰ **security risks:**

the potential for a negative impact to government organizational operations (including mission, functions, image, reputation), organizational assets, and personnel, or to the public due to the unauthorized access, use, disclosure, disruption, modification, or destruction of information and/or information systems.

¹¹ **cost estimate:**

a cost estimate in the form of three elements: hardware, software, and migration. Labor costs will be included within the elements as appropriate. The cost should reflect replacement cost or, at a minimum, the cost to upgrade the system(s) to reduce the risk of failure significantly, as well as unrecovered investments on any of the systems to be upgraded.

¹² **the information necessary for the study:**

to include: the inventory of the systems, the annual cost and the availability of resources needed to maintain the legacy systems, the security risks related to the use of the legacy systems, and a cost estimate to update the legacy systems. Data previously collected for the IRDR will be referenced for each agency before the information for the study is requested.